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PATENT
Attorney's Ref. No. 5759-54451

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box PATENT APPLICATION
ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

JC542 U.S. PTO
09/522278
03/09/00

Transmitted herewith for filing is the patent application of:

Inventor(s): Peter Francis Joseph O'Hare and Nadia Michelle Normand

For: DELIVERY OF SUBSTANCES TO CELLS

Enclosed are:

- ☒ 22 pages of specification, 3 pages of claims, an abstract and a Combined Declaration and Power of Attorney.
- ☒ Verified Statement(s) (Declaration) Claiming Small Entity Status:
 - ☒ Independent Inventor (37 CFR §§ 1.9(f) and 1.27(b)).
 - ☒ Small Business Concern (37 CFR §§ 1.9(f) and 1.27(c)).

CLAIMS AS FILED					Basic Fee
For	Claims Filed	Number Free	Number Extra	Rate	\$345.00
Total Claims	23	20	= 3	\$9.00	\$ 27.00
Independent Claims	1	3	= 0	\$39.00	\$ 0.00
TOTAL FILING FEE					\$372.00

- ☒ No fee is enclosed.
- ☒ Please return the enclosed postcard to confirm that the items listed above have been received.

Respectfully submitted,

KLARQUIST SPARKMAN CAMPBELL
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By William D. Noonan
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cc: Docketing Secretary

Applicant or Patentee: O'Hare and Normand Matter No. 5759-54451
Serial or Patent No. : Unknown Filed or Issued: Herewith
For: DELIVERY OF SUBSTANCES TO CELLS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR §1.9(f) AND §1.27(b))--INDEPENDENT INVENTOR**

As a below-named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR §1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled:

DELIVERY OF SUBSTANCES TO CELLS

Described in: ☒ The Specification Filed Herewith.
☐ Application No. _____ Filed _____
☐ Patent No. _____ Issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR §1.9(c) if that person had made the invention, or to any concern which would not qualify as small business concern under 37 CFR §1.9(d) or a nonprofit organization under 37 CFR §1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☐ No such person, concern, or organization
☒ Persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR §1.27)

FULL NAME Phogen Limited

ADDRESS 310 Cambridge Science Park, Cambridge CB4 OWG, United Kingdom

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Peter Francis Joseph O'Hare
NAME OF INVENTOR

Nadia Michelle Normand
NAME OF INVENTOR

Signature of Inventor

Signature of Inventor

Date

Date

Applicant or Patentee: O'Hare and Normand Matter No. 5759-54451
 Serial or Patent No.: Unknown Filed or Issued: Herewith
 For: DELIVERY OF SUBSTANCES TO CELLS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
 STATUS (37 CFR §1.9(f) and §1.27(c)) – SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ The owner of the small business concern identified below:
☒ An official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN Phogen, Limited
 ADDRESS OF CONCERN 310 Cambridge Science Park, Cambridge CB4 OWG, United Kingdom

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR §121.3-18, and reproduced in 37 CFR §1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled

DELIVERY OF SUBSTANCES TO CELLS

By inventor(s) Peter Francis Joseph O'Hare and Nadia Michelle Normand

Described in: ☒ The Application Filed Herewith.
☐ Application No. _____ Filed _____
☐ Patent No. _____ Issued _____

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR §1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 CFR §1.9(d), or a nonprofit organization under 37 CFR §1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR §1.27)

FULL NAME Peter Francis Joseph O'Hare
 ADDRESS 15 Beatrice Road, Oxted, Surrey RH8 OTL, United Kingdom
☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME Nadia Michelle Normand
 ADDRESS 231b Croydon Road, Caterham, Surrey CR3 6PG, United Kingdom
☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR §1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING _____

TITLE OF PERSON OTHER THAN OWNER _____

ADDRESS OF PERSON SIGNING _____

SIGNATURE _____ DATE _____

SCANNED 7